



	OREA USE ONLY	Type Remit
Rec'd	DSS	<input type="checkbox"/> CC
App Rev	Overpay	<input type="checkbox"/> MO
FP	Misc	<input type="checkbox"/> PO

APPRAISAL MANAGEMENT COMPANY (AMC) CONTROLLING PERSON APPLICATION

Read all directions prior to completing this form.

PART I: Controlling Person Contact Information

1. Controlling Person's Name			
Last	First	M.I.	
2. Controlling Person's Title or Position			
3. Social Security Number		4. Birth Date	
5. Name of Appraisal Management Company			
6. Business Address			
Address			
City		State	Zip Code
7. Mailing Address			
Address			
City		State	Zip Code
8. Physical Home Address			
Address			
City		State	Zip Code
9. Business Telephone Number		10. Home Telephone Number	
11. Email Address (Specify if Business or Home)			

Please Answer the Following Questions:

12. Do you currently or have you ever held a California Real Estate Appraisers License? ☐ Yes ☐ No
If Yes, please list your license number.

California Real Estate Appraisers License Number

License No.

13. Do you currently or have you ever held a real estate appraisers license in another State? ☐ Yes ☐ No
If Yes, please list your license number and the state in which you hold your license.

Real Estate Appraisers License Number

License No.	State
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If you are currently licensed in another state as a real estate appraiser, you will need to submit a **Certificate of License History** or its equivalent, not more than 30 days old, from the state in which you are licensed, as part of this application.

PART II: CONTROLLING PERSON BACKGROUND INFORMATION

1. FINGERPRINT BACKGROUND CHECK: ***Please Note: All controlling person applicants that are NOT currently licensed with the Office of Real Estate Appraisers (OREA) MUST complete the background application process by having their fingerprints taken. Please have your fingerprints taken using a Request for Live Scan Service form (BCII 8016) if you reside in the State of California. You MUST print out and use the Request for Live Scan Service form (BCII 8016) located on the OREA website. If you reside outside of the State of California, please submit two FD-258 fingerprint cards with your application.*

2. BACKGROUND REVIEW QUESTIONS

INSTRUCTIONS

- YOU MUST ANSWER EACH OF THE FOLLOWING QUESTIONS BY MARKING "YES" OR "NO", WHICHEVER IS TRUE, AFTER EACH QUESTION.
- ALL "YES" ANSWERS MUST BE EXPLAINED ON A SEPARATE SHEET OF PAPER WHICH YOU MUST ATTACH TO THIS APPLICATION FORM. EACH ADDITIONAL SHEET MUST BE SIGNED BY THE CONTROLLING PERSON APPLICANT.
- FAILURE TO DISCLOSE PERTINANT INFORMATION MAY RESULT IN THE DELAY OR DENIAL OF YOUR APPLICATION.
- PROVIDING FALSE INFORMATION MAY ALSO SUBJECT YOU TO DISCIPLINARY ACTION OR CRIMINAL PROSECUTION.

1. Have you ever used or been known by any name other than, or in addition to, the name listed on this application?
If yes, list all such other names.
☐ No ☐ Yes, explain: _____
2. Have you ever been entered a plea of guilty or no contest to, or been convicted in California or anywhere else of a criminal offense other than a minor traffic offense? If yes, please indicate all such offenses including the date and location of each offense. For purposes of this question, a minor traffic offense is one for which the maximum fine which could have been imposed is \$100 or less. To expedite review of your application, please attach a copy of the police report and a certified copy of the court docket, complaint and judgment showing the final disposition (sentence) of the case. **NOTE: Termination of probation and dismissal of the matter pursuant to Penal Code section 1203.4 DOES NOT relieve you of the requirement to disclose any conviction for purposes of this application.**
☐ No ☐ Yes, explain: _____
3. Are you or have you even been placed on probation or parole on terms which restricted or limited your contact or dealings with any financial or real estate-related activity or business or otherwise restricted your acting in a fiduciary capacity? If yes, attach a certified copy of the court records, including the complaint, complete docket, judgment and sentence, and probation report and attach a copy of the police report(s) and/or investigating agency records.
☐ No ☐ Yes, explain: _____
4. Do you presently have criminal charges pending before any court of law? If yes, please specify the court in which the matter is pending, the case number and charges and submit a copy of the police report and a certified copy of the complaint and docket.
☐ No ☐ Yes, explain: _____
5. Do you currently hold a professional or vocational license issued by any other governmental agency? If yes, please identify the license held, the license number and the issuing agency.
☐ No ☐ Yes, explain: _____
6. Have you ever had a license or certificate to act as an appraiser or to engage in activities related to the transfer of real property denied, suspended, restricted or revoked in this state or any other state? If yes, attach a copy of the final agency action and related investigatory agency records.
☐ No ☐ Yes, explain: _____
7. Have you ever been disciplined or have you received any order or judgment by a court or governmental agency, including OREA, which order or judgment temporarily or permanently restrained or enjoined you from engaging in specific business conduct or licensed activity? If yes, attach a certified copy of any court records, including the complaint, complete docket, judgment and sentence and/or any final order and related investigatory file.
☐ No ☐ Yes, explain: _____

PART III: APPLICANT DECLARATION

I, _____ (name), certify under penalty of perjury in accordance with California law, that I am a Controlling Person (as defined herein) and duly authorized as such and understand and agree, individually and on behalf of _____ (name of AMC), to abide by all federal and California laws applicable to appraisal management companies receiving and maintaining a Certificate of Registration under California law. I declare under penalty of perjury in accordance with California law that I am 18 years of age or older and that the foregoing information and information provided on all attachments is true and correct and that I have answered each question fully and truthfully without any purpose of evasion or mental reservation. I understand that providing false information is grounds for denial or revocation of any certificate of registration and may subject me to disciplinary action and/or criminal prosecution and punishment by imprisonment in state prison for 2, 3, or 4 years pursuant to Penal Code section 126. I understand that any certification of registration issued in conjunction with this application entitles the applicant to act only for the appraisal management company so registered and not in an individual capacity.

I understand and certify that valid service of process on the appraisal management company _____ (name of AMC) by OREA also constitutes valid service of process on me as a Controlling Person for _____ (name of AMC), as certified by the Agent for Service of Process for _____ (name of AMC) in the *Appraisal Management Company Certificate of Registration Application* Form REA 5001 submitted by _____ (name of AMC), or by a subsequent Agent for Service of Process identified by _____ (name of AMC) in a *Change Notification and Miscellaneous Requests* Form REA 3011.

I understand that if I fail to qualify as a Controlling Person for any reason or withdraw this application, the Office of Real Estate Appraisers cannot refund the fees remitted with this application.

Executed this _____ day of _____ at _____ (city or county)
_____ (state).

Signature _____

Name (please print) _____

STATE OF _____ COUNTY OF _____

On this _____ day of _____ in the year _____ before me _____ personally appeared _____ personally known to me (or proved to me on the basis of satisfactory evidence) to be the person whose name is subscribed to this instrument and acknowledged that he/she executed it.

Signature of Notary Public

MUST BE SIGNED AND CERTIFIED BY A NOTARY PUBLIC IF EXECUTED OUTSIDE THE STATE OF CALIFORNIA

PART IV. READ THE FOLLOWING INFORMATION PRIOR TO COMPLETING THIS FORM

A. GENERAL INFORMATION

- Complete all sections of Parts I, II and III above.
- Do not write in the shaded areas.
- Type or print clearly in blue or black ink.
- Applications must be submitted with original signatures. Applications with electronic or faxed signatures will not be accepted.
- **A separate application must be submitted for each Controlling Person listed on the Appraisal Management Company Certificate of Registration Application form REA 5001.**
- Mail completed application, necessary fees and qualifying documentation to:

OFFICE OF REAL ESTATE APPRAISERS

1102 Q Street, Suite 4100

Sacramento, CA 95811

If you have any questions, please write to the address listed above or call (916) 552-9000

B. APPLICATION FEES

Applicants currently not licensed or registered with OREA:

Background Investigation Fee \$70
Child Support Review Fee \$10

Total Fees \$80

- Applicants currently licensed or registered with OREA will not be charged the above-referenced fee.
- All application fees must be paid by pre-printed personal check, company check, cashier's check, certified check, money order, or government purchase order.
- All application fees are non-refundable.
- Once OREA approves an AMC applicant and each associated Controlling Person Application, an Issuance Fee will be due to OREA prior to issuance of the final Certificate of Registration.
- ***Please note:** This application is subject to change upon the adoption of final regulations pursuant to SB 237 (Stats. 2009, ch.173) governing AMC registration and operation.
- Appraisal management companies MUST notify the OREA within 10 business days of any change to contact information for the Designated Officer or any Controlling Person by submitting a *Change Notification and Miscellaneous Requests* Form REA 3011 (Revised 5/00).

C. DEFINITIONS

"Appraisal Management Company" means:

1. Any person or entity that satisfies all of the following conditions:
 - (A) Maintains an approved list or lists, containing 11 or more independent contractor appraisers licensed or certified pursuant to this part, or employs 11 or more appraisers licensed or certified pursuant to this part.
 - (B) Receives requests for appraisals from one or more clients.
 - (C) For a fee paid by one or more of its clients, delegates appraisal assignments for completion by its independent contractor or employee appraisers.
2. "Appraisal management company" does not include any of the following, when that person or entity directly contracts with an independent appraiser:
 - (A) Any bank, credit union, trust company, savings and loan association, or industrial loan company doing business under the authority of, or in accordance with, a license, certificate, or charter issued by the United States or any state, district, territory, or commonwealth of the United States that is authorized to transact business in this state.
 - (B) Any finance lender or finance broker licensed pursuant to Division 9 (commencing with Section 22000) of the Financial Code, when acting under the authority of that license.
 - (C) Any residential mortgage lender or residential mortgage servicer licensed pursuant to Division 20 (commencing with Section 50000) of the Financial Code, when acting under the authority of that license.
 - (D) Any real estate broker licensed pursuant to Part 1 (commencing with Section 10000) of Division 4 of the Business and Professions Code, when acting under the authority of that license.
3. "Appraisal Management Company" does not include any person licensed to practice law in this state who is working with or on behalf of a client of that person in connection with one or more appraisals for that client.

"Controlling Person" means one or more of the following:

- (1) An officer or director of an appraisal management company, or an individual who holds a 10 percent or greater ownership interest in an appraisal management company; or
- (2) An individual employed, appointed, or authorized by an appraisal management company that has the authority to enter into a contractual relationship with clients for the performance of appraisal services and that has the authority to enter into agreements with independent appraisers for the completion of appraisals; or
- (3) An individual who possesses the power to direct or cause the direction of the management or policies of an appraisal management company.

"Designated Officer" means:

A Controlling Person authorized by the governing structure of the appraisal management company to act on behalf of the company for purposes of application for, and compliance with, a Certificate of Registration to operate as an appraisal management company pursuant to California law. The Designated Officer shall be responsible for the supervision and control of the activities conducted on behalf of the appraisal management company by its officers and employees as necessary to secure full compliance with the provisions of SB 237 (Stats. 2009, ch.173), including contract services provided to the appraisal management company for the performance of appraisal activities for which a California Real Estate Appraisal license is required.

PART V: Instructions

A. INSTRUCTIONS PART I: *Controlling Person Contact Information*

1. CONTROLLING PERSON'S NAME- List your name. You **must** be listed as a Controlling Person on the *Appraisal Management Company Certificate of Registration Application* Form REA 5001.
2. TITLE OR POSITION - List your title or position.
3. SOCIAL SECURITY NUMBER-List your social security number.
4. BIRTH DATE-List your date of birth.
5. APPRAISAL MANAGEMENT COMPANY-List the name of the appraisal management company for which you are named as a Controlling Person.
6. BUSINESS ADDRESS-Your physical business address of record is mandatory information. Do not list a P.O. Box, Rural Route or Star Route. If a physical address is not available, indicate the physical location (i.e., the nearest intersection and distance from it).
7. MAILING ADDRESS-List your mailing address if it is different from your business address.
8. PHYSICAL HOME ADDRESS-List the physical location of your home address. Do not list a P.O. Box, Rural Route or Star Route. If a physical address is not available, indicate the physical location (i.e., the nearest intersection from it).
9. BUSINESS TELEPHONE NUMBER-List your business phone number.
10. HOME TELEPHONE NUMBER-List your home phone number.
11. EMAIL ADDRESS-List your email address and specify whether it is your business or home email .
- 12.& 13. List the state in which you hold a real estate appraisers license and your license number, if applicable. Submit a Certificate of License History or its equivalent, not more than 30 days old, if you hold a real estate appraisers license in another state.

B. INSTRUCTIONS PART II: *Controlling Person Background Information*

1. FINGERPRINT BACKGROUND CHECK- Applicants not currently licensed or registered with the OREA must submit fingerprints in order to complete the background check portion of this application. Fingerprint background checks are submitted to the Department of Justice via a Request for Live Scan Service form or print cards. If you live in the State of California you must submit your fingerprints using the Request for Live Scan Service Form located on our website at www.orea.ca.gov. You must print out this form located on the OREA website and visit a Live Scan fingerprinting location to have your fingerprints rolled. Keep a copy of this form for your records and submit a copy along with this application to the OREA.
- If you reside outside of California, you must submit your fingerprints on two FD-258 fingerprint cards and submit these cards to OREA with your application.

**Please note, the Department of Justice no longer accepts fingerprint card submissions on Bid-7 cards from OREA applicants.*
- 2.BACKGROUND REVIEW QUESTIONS-Answer all questions, 1-7 as instructed and completely.

C. INSTRUCTIONS PART III: *Applicant Declaration*

1. APPLICANT DECLARATION - Read, sign and date the declaration. If executed outside of the State of California, this declaration must be signed before and certified by a notary public.

Privacy Notice - Any individual submitting personal information within the meaning of the Information Practices Act of 1977, as amended (California Civil Code, Section 1798 *et seq.*) shall be entitled to the rights provided under section 1798.17 of that Act and the California Code of Regulations, Title 10, section 3761 regarding access to inspect OREA records containing such personal information about himself or herself.

Personal information provided within this application may not be used for any purpose other than to determine an applicant's identity and eligibility as a Controlling Person and the eligibility of the relevant appraisal management company for a certificate of registration. Disclosure of personal information on an applicant to others for any other purpose without the individual's consent, or as otherwise provided in California law, is restricted by law.

NOTE: The following is considered public information and will be disclosed upon request: name and fictitious name, if any, of the appraisal management company; business address (or other physical address) and mailing address of record for the appraisal management company and the applicant (if different than the company address); and business telephone and/or facsimile number of record for the appraisal management company and the applicant (if different from the company address.)